



PTO/SB/08a/b (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/692002	
			Filing Date	October 24, 2003	
			First Named Inventor	Mike West	
			Art Unit	1631	
			Examiner Name	Jerry Lin	
Sheet	1	of	2	Attorney Docket Number	DU-P02-002

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/JL/	AA	US-6,532,305	03-11-03	LINCOM CORPORATION	
↓	AB	US-2004-0083084	04-29-04	WEST	
	AC	US-2004-0106113	06-03-04	WEST et al.	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T <sup>2</sup>
/JL/	CA	SELLKE, T. et al., Calibration of p-values for testing precise null hypotheses, <i>The American Statistician</i> , 55, 62-71, (2001)			
	CB	BREIMAN, L., Statistical Modeling: The two cultures (with discussion), <i>Statistical Science</i> , 16 199-225 (2001)			
	CC	OSBORNE, B.G., Applications of near infrared reflectance spectroscopy to compositional analysis of biscuits and biscuit doughs, <i>J. Sci. Food Agric.</i> , 35, 99-105 (1984)			
	CD	BROWN, P.J., et al., The choice of variables in multivariate regression: A non-conjugate Bayesian decision theory approach, <i>Biometrika</i> , 86, 635-648 (1999).			
	CE	LI, C. et al., Model-based analysis of oligonucleotide arrays: Expression index computation and outlier detection. <i>Proc. Natl. Acad. Sci.</i> , 98, 31-36 (2001)			
	CF	EARLY BREAST CANCER TRIALISTS' COLLABORATIVE GROUP, Polychemotherapy for early breast cancer: an overview of the randomized trials, <i>Lancet</i> , 352:930-942 (2001)			
	CG	WEST, M., et al., Predicting the clinical status of human breast cancer by using gene expression profiles, <i>Proc. Natl. Acad. Sci. USA</i> 98, 11462-11467 (2001)			
	CH	SPANG, R., et al., Prediction and uncertainty in the analysis of gene expression profiles, In <i>Silico Biol.</i> 2, 0033 (2002)			
	CI	VAN T VEER, L.J., et al., Gene expression profiling predicts clinical outcome of breast cancer, <i>Nature</i> 415, 530-536 (2002)			
	CJ	VAN DE VIJVER, M.J., et al., A gene-expression signature as a predictor of survival in breast cancer, <i>N. Engl. J. Med.</i> 347, 1999-2009 (2002)			
	CK	HUANG, E., et al., Gene expression predictors of breast cancer outcomes., <i>Lancet</i> in press (2003)			
	CL	POMEROY, S.L., et al., Prediction of central nervous system embryonal tumour outcome based on gene expression, <i>Nature</i> 415, 436-442 (2002)			
↓	CM	ALIZADEH, A.A., et al., Distinct types of diffuse large B-cell lymphoma identified by gene expression profiling, <i>Nature</i> 403, 503-511 (2000)			

Examiner Signature	/Jerry Lin/	Date Considered	09/22/2007
--------------------	-------------	-----------------	------------

Substitute for form 1449A/B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/692002	
			Filing Date	October 24, 2003	
			First Named Inventor	Mike West	
			Art Unit	1631	
			Examiner Name	Jerry Lin	
Sheet	2	of	2	Attorney Docket Number	DU-P02-002

/JL/	CN	ROSENWALD, A., et al., The use of molecular profiling to predict survival after chemotherapy for diffuse large-B-cell lymphoma.	
	CO	BHATTACHARJEE, A., et al., Classification of human lung carcinomas by mRNA expression profiling reveals distinct adenocarcinoma subclasses, Proc. Natl. Acad. Sci. USA 98, 13790-13795 (2001)	
	CP	RAMASWARNY, S., et al., Multiclass cancer diagnosis using tumor gene expression signatures, Proc. Natl. Acad. Sci. 98, 15149-15154 (2001)	
	CQ	GOLUB, T.R., et al., Molecular classification of cancer: class discovery and class prediction by gene expression monitoring, Science 286, 531-537 (1999)	
	CR	SHIPP, M.A., et al., Diffuse large B-cell lymphoma outcome prediction by gene expression profiling and supervised machine learning, Nat. Med. 8, 68-74 (2002)	
	CS	YEOH, E.-J., et al., Classification, subtype discovery, and prediction of outcome in pediatric acute lymphoblastic leukemia by gene expression profiling, Cancer Cell 1,133-143 (2002)	
	CT	CHENG, et al., Unique Features of Breast Cancer Res. Treat. 2000:63:213-23)	
	CU	MITTRA, I., et al., A Meta-analysis of reported correlations between prognostic factors in breast cancer: does axillary lymph node metastasis represent biology or chronology, Eur.J.Cancer 1991;27:1574-83	
	CV	McGUIRE, W.L., Prognostic factors for recurrence and survival in human breast cancer, Breast Cancer Res Treat. 1987;10:5-9	
	CW	TANDON, A.K., et al., HER-2/neu oncogene protein and prognosis in breast cancer, JClin. Oncol. 1989;7:1120-8	
	CX	KASS, R.E., et al., Bayes' factors, J. Am. Stat. Assoc. 90, 773-795 (1998)	
	CY	HOETING, J., et al., Bayesian model averaging, A tutorial; Statistical Science, 14(4), 382-417 (1999)	
	CZ	CLYDE, M., Bayesian Statistics 6, Bernardo J.M. (ed.), pp. 157-185 (Oxford University Press, 1999)	
	CA1	JATOI, I., Significance of axillary lymph node metastasis in primary breast cancer, J. Clin. Oncol. 17, 2334-2340 (1999)	
	CB1	PHILOSOPHOV, L. et al., Medical Diagnostic Decision Rules Based on Mutually Dependent Diagnostic Factors, Comput. Biol. Med., Vol. 27, No. 4, 329-347, 1997.	
	CC1	LIAO, S. et al., Appropriate medical data categorization for data mining classification techniques, Med. Inform. Vol. 27, No. 1, 59-67 (2002).	
	CD1	CHAPMAN, W. et al., A Comparison of Classification Algorithms to Automatically Identify Chest X-Ray Reports That Support Pneumonia, Journal of Biomedical Informatics, 34, 4-14 (2001).	
	CE1	DAWSON, K., et al., A Bayesian approach to the identification of panmictic populations and the assignment of individuals", Genet. Res. Camb., 78, 59-77 (2001).	
	CF1	Copy of International Search Report dated July 1, 2004 from corresponding application no. PCT/US03/33946; citing references PHILOSOPHOV, LIAO, CHAPMAN and DAWSON.	
	CG1	SORLIE, T., et al., Gene expression patterns of breast carcinomas distinguish tumor subclasses with clinical implications, PNAS, Vol. 98, No. 19, 10869-10874 (2001)	
	CH1	D'HAESELEER et al. Bioinformatics, Volume 16, pages 707-726 (2000)	
✓	CI1	FRIEDMAN et al., Using Bayesian Networks to Analyze Expression Data, Journal of Computational Biology, Vol. 7, Nos. 3/4, pp. 601-620 (2000).	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature	/Jerry Lin/	Date Considered	09/22/2007
--------------------	-------------	-----------------	------------